

FORM PTO-1390 (Modified)
(REV 11-98)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

TRANSMITTAL LETTER TO THE UNITED STATES

PL-9830

DESIGNATED/ELECTED OFFICE (DO/EO/US)

U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR

CONCERNING A FILING UNDER 35 U.S.C. 371

To be assigned **09/787228**INTERNATIONAL APPLICATION NO.
PCT/GB99/03081INTERNATIONAL FILING DATE
14 September 1999PRIORITY DATE CLAIMED
14 September 1998

TITLE OF INVENTION

Gene and Protein Libraries and Methods Relating Thereto

APPLICANT(S) FOR DO/EO/US

Anna Hine, Leonie Morgan, Albert Santos, and David Palfrey

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This is an express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4. ☒ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☒ A copy of the International Application as filed (35 U.S.C. 371 (c) (2))
 - a. ☒ is transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☐ has been transmitted by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7. ☒ A copy of the International Search Report (PCT/ISA/210).
8. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
 - a. ☒ are transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☐ have been transmitted by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☐ have not been made and will not be made.
9. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
10. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
11. ☒ A copy of the International Preliminary Examination Report (PCT/IPEA/409).
12. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).

Items 13 to 20 below concern document(s) or information included:

13. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
14. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
15. ☒ A **FIRST** preliminary amendment.
16. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
17. ☐ A substitute specification.
18. ☐ A change of power of attorney and/or address letter.
19. ☒ Certificate of Mailing by Express Mail
20. ☒ Other items or information:

Copy of the International Application as Published by the International Bureau

Copy of this transmittal letter for charging purposes

A Submission of Nucleotide and/or Amino Acid Sequence Disclosures with CFR and printed copies

Return Postcard

CERTIFICATE OF MAILING

I hereby certify that this paper (along with any paper referred to as being attached or enclosed) is being deposited with the United States Postal Service with sufficient postage as First Class Mail in an envelope addressed to: Assistant Commissioner for Patents Washington, D.C. 20231.

Melissa Leck
Type or print name


Signature

March 14, 2001
Date

Application No.:	To be assigned
Filing Date:	March 14, 2001
Inventors:	A. Hine, et al.
Title:	Gene and Protein Libraries and Methods Relating Thereto
File Reference No.:	PL-9830

**Assistant Commissioner for Patents
United States Patent and Trademark Office
Washington, D.C. 20231**

SUBMISSION OF NUCLEOTIDE AND/OR AMINO ACID SEQUENCE DISCLOSURES

Dear Sirs:

In connection with the prosecution of the captioned application, which claims priority to international application number PCT/GB99/03081 filed September 14, 1999, Applicants submit the following items:

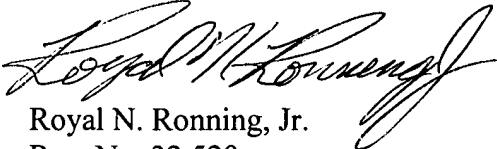
- 1) An initial computer readable form (CFR) copy of the sequence listing and an initial paper copy of the sequence listing, both generated on an IBM computer using PatentIn, Version 2.1 Software.
- 2) Required statements:
 - A. Applicants aver that the sequence listings do not include any new matter which goes beyond the content of the application as filed.
 - B. Applicants aver that that sequence listings contained on the diskette are identical to those contained on the paper copy.

09/787228-071901

Applicants simultaneously submit a First Preliminary Amendment instructing that the attached sequence listings be inserted as a part of the specification. Please direct any remaining issues to Applicant's counsel at the telephone number provided below.

Amersham Pharmacia Biotech, Inc.
P.O. Box 1327
800 Centennial Avenue
Piscataway, New Jersey 08855-1327
(732)457-8423 (voice)
(732)457-8463 (facsimile)

Respectfully submitted,


Royal N. Ronning, Jr.
Reg. No. 32,529

09/787228.07.001

09/787228

1602 Rec'd PCT/PTO 14 MAR 2001

CERTIFICATE OF MAIL BY "EXPRESS MAIL" (37 CFR

Applicant(s): A. Hine, et al.

Docket No.

PL9830

Serial No.

To be assigned

Filing Date

March 14, 2001

Examiner

To be assigned

Group Art Unit

To be assigned

Invention: Gene and Protein Libraries and Methods Relating Thereto

I hereby certify that the following correspondence:

Transmittal Letter with copy, First Preliminary Amendment, Submission of Nucleotide and/or Amino Acid Sequence Disclosures with CFR and printed copies, copy of the International Application as published by the International Bureau, copy of the International Search Report, copy of the International Preliminary Examination Report, and a return postcard

(Identify type of correspondence)

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231 on

March 14, 2001

(Date)

Melissa Leck

(Typed or Printed Name of Person Mailing Correspondence)


(Signature of Person Mailing Correspondence)EL493404187US

("Express Mail" Mailing Label Number)

U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR 1.53) To be assigned 09/787228	INTERNATIONAL APPLICATION NO. PCT/GB99/03081	ATTORNEY'S DOCKET NUMBER PL-9830
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21. The following fees are submitted:

BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)) :

- ☐ Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO **\$1,000.00**
- ☒ International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO **\$860.00**
- ☐ International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO **\$710.00**
- ☐ International preliminary examination fee paid to USPTO (37 CFR 1.482) but all claims did not satisfy provisions of PCT Article 33(1)-(4) **\$690.00**
- ☐ International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(1)-(4) **\$100.00**

ENTER APPROPRIATE BASIC FEE AMOUNT =**\$860.00**

Surcharge of **\$130.00** for furnishing the oath or declaration later than ☐ 20 ☐ 30 months from the earliest claimed priority date (37 CFR 1.492 (e)).

\$0.00

CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE
Total claims	27 - 20 =	7	x \$18.00
Independent claims	4 - 3 =	1	x \$80.00
Multiple Dependent Claims (check if applicable).			<input type="checkbox"/>
TOTAL OF ABOVE CALCULATIONS			=
Reduction of 1/2 for filing by small entity, if applicable. Verified Small Entity Statement must also be filed (Note 37 CFR 1.9, 1.27, 1.28) (check if applicable).			<input type="checkbox"/>
SUBTOTAL			=
Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492 (f)).			+
TOTAL NATIONAL FEE			=
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31) (check if applicable).			<input type="checkbox"/>
TOTAL FEES ENCLOSED			=
			Amount to be:
			refunded
			charged

\$126.00**\$80.00****\$0.00****\$1,066.00****\$0.00****SUBTOTAL =****\$1,066.00**

Processing fee of **\$130.00** for furnishing the English translation later than ☐ 20 ☐ 30 months from the earliest claimed priority date (37 CFR 1.492 (f)).

\$0.00**TOTAL NATIONAL FEE =****\$1,066.00**

Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31) (check if applicable).

\$0.00**TOTAL FEES ENCLOSED =****\$1,066.00**

Amount to be:	\$
refunded	
charged	\$

☐ A check in the amount of _____ to cover the above fees is enclosed.

☒ Please charge my Deposit Account No. **500-588** in the amount of **\$1,066.00** to cover the above fees.
A duplicate copy of this sheet is enclosed.

☒ The Commissioner is hereby authorized to charge any fees which may be required, or credit any overpayment to Deposit Account No. **500-588** A duplicate copy of this sheet is enclosed.

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

Royal N. Ronning, Jr.
Amersham Pharmacia Biotech, Inc.
800 Centennial Avenue
Piscataway, New Jersey 08855

(732) 457-8423

SIGNATURE

Royal N. Ronning, Jr.

NAME

32,529

REGISTRATION NUMBER

March 14, 2001

DATE